



IAPD Report

KEVIN CARL KINGSTON

CRD# 829132

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

KEVIN CARL KINGSTON (CRD# 829132)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/02/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SAVANT WEALTH MANAGEMENT	CRD# 107271	12/26/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	VALMARK ADVISERS, INC.	108050	BLOOMINGTON, IL	06/04/2007 - 12/31/2019
B	VALMARK SECURITIES, INC.	31243	BLOOMINGTON, IL	06/01/2007 - 12/31/2019
IA	AXA ADVISORS, LLC	6627	BLOOMINGTON, IL	03/23/2000 - 12/17/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SAVANT WEALTH MANAGEMENT**
Main Address: 190 BUCKLEY DRIVE
ROCKFORD, IL 61107
Firm ID#: 107271

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	12/26/2019

Branch Office Locations

SAVANT WEALTH MANAGEMENT
2315 E EMPIRE ST.
SUITE 2
BLOOMINGTON, IL 61704



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	08/13/2003

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/27/1999
Registered Representative Examination (S1)	Series 1	10/22/1976

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/04/2007 - 12/31/2019	VALMARK ADVISERS, INC.	CRD# 108050	BLOOMINGTON, IL
B	06/01/2007 - 12/31/2019	VALMARK SECURITIES, INC.	CRD# 31243	BLOOMINGTON, IL
IA	03/23/2000 - 12/17/2009	AXA ADVISORS, LLC	CRD# 6627	BLOOMINGTON, IL
B	10/20/1980 - 12/17/2009	AXA ADVISORS, LLC	CRD# 6627	BLOOMINGTON, IL
IA	10/22/2002 - 06/07/2007	MUTUAL SERVICE CORPORATION	CRD# 4806	BLOOMINGTON, IL
B	08/30/1995 - 06/07/2007	MUTUAL SERVICE CORPORATION	CRD# 4806	BLOOMINGTON, IL
B	10/26/1976 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2024 - Present	SAVANT WEALTH MANAGEMENT	Managing Partner/Financial Advisor	Y	Rockford, IL, United States
07/2020 - 11/2024	SAVANT WEALTH MANAGEMENT	MANAGING DIRECTOR/FINANCIAL ADVISOR	Y	ROCKFORD, IL, United States
10/2019 - 07/2020	SAVANT CAPITAL MANAGEMENT	MANAGING DIRECTOR/FINANCIAL ADVISOR	Y	ROCKFORD, IL, United States
06/2007 - 12/2019	VALMARK ADVISERS, INC.	INVESTMENT ADVISER	Y	AKRON, OH, United States
06/2007 - 12/2019	VALMARK SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	AKRON, OH, United States
06/1976 - 12/2019	AXA ADVISORS, LLC	REPRESENTATIVE	Y	NEWYORK, NY, United States
06/1976 - 12/2019	EQ FINANCIAL CONSULTANTS, INC.	OTHER - Representative	Y	PEORIA, IL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/1976 - 12/2019	EVLICO NEW YORK NEW YORK	OTHER - PROFESSIONAL LIFE UNDERWRITER	N	BLOOMINGTON, IL, United States
06/1976 - 12/2019	KINGSTON WEALTH MANAGEMENT	FINANCIAL ADVISOR	Y	BLOOMINGTON, IL, United States
06/1976 - 12/2019	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	OTHER - Representative	Y	PEORIA, IL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS, LLC
Allegations:	ATTORNEY ALLEGES THAT FEES AND EXPENSES WERE DEDUCTED FROM HIS CLIENT'S 1994 VARIABLE ANNUITY WITHOUT PROPER DISCLOSURE IN THE QUARTERLY PORTFOLIO REVIEW. CLIENT IS SEEKING REIMBURSEMENT OF \$77,000.
Product Type:	Annuity-Variable
Alleged Damages:	\$77,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/03/2013
Complaint Pending?	No
Status:	Denied
Status Date:	06/14/2013

Settlement Amount:

Individual Contribution

**Amount:****Firm Statement**THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.
.....**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

MUTUAL SERVICE CORPORATION

Allegations:

ON JUNE 3, 2013, A LETTER WAS RECEIVED FROM THE CUSTOMER'S ATTORNEY WITH A REQUEST FOR A REIMBURSEMENT OF \$77,000 FOR ALLEGED NON-DISCLOSURE OF ANNUITY FEES. A THOROUGH INVESTIGATION WAS CONDUCTED BY AXA AND VALMARK SECURITIES. THE REPRESENTATIVE DENIES NOT HAVING PROVIDED COST INFORMATION AT THE POINT OF SALE AND AGAIN IN NUMEROUS CONVERSATIONS AFTER THE SALE. CUSTOMER ACKNOWLEDGED RECEIPT OF PROSPECTUS THAT CLEARLY STATES ALL APPLICABLE FEES AND CHARGES. AXA DENIED THE CUSTOMER'S REQUEST AND DETERMINED THAT THE TERMS AND PROVISIONS OF THE CUSTOMER'S ANNUITY CONTRACT HAVE BEEN APPROPRIATELY PROVIDED TO HIM, INCLUDING THE INVESTMENT FUND EXPENSES, MORTALITY AND EXPENSE CHARGES, THE ANNUAL ADMINISTRATIVE FEE AND APPLICABLE CHARGES.

Product Type:

Annuity-Variable

Alleged Damages:

\$77,000.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information**Date Complaint Received:**

06/03/2013

Complaint Pending?

No

Status:

Denied

Status Date:

06/14/2013

Settlement Amount:**Individual Contribution Amount:****Disclosure 2 of 4****Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

MUTUAL SERVICE CORP AND AXA

Allegations:

CUSTOMER PURCHASED 2 VARIABLE ANNUITIES. HE CONTENDS THAT THE GUARANTEED WITHDRAWAL RIDER ON ONE ISN'T WORTH ADDITIONAL COSTS AND ALSO OBJECTS TO THE SUB ACCOUNT LIMITATIONS. HE ALSO CONTENDS THAT THERE WERE UNDISCLOSED WITHDRAWAL CHARGES AND FEES ON THE SECOND.



Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNDETERMINED

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/04/2010

Complaint Pending? No

Status: Denied

Status Date: 03/29/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement

PRODUCTS WERE SOLD WHILE REPRESENTATIVE WAS AFFILIATED WITH MUTUAL SERVICES CORP. MUTUAL SERVICES CORP WAS ACQUIRED BY LPL FINANCIAL; THEREFORE, LPL RESPONDED TO THIS COMPLAINT WITH A LETTER OF DENIAL TO THE CLIENT. LPL DENIED THE CLAIM AFTER A DETERMINATION THAT THE REPRESENTATIVE'S RECOMMENDATIONS WERE SUITABLE, AND THE CLIENT RECEIVED ADEQUATE DISCLOSURE ABOUT THE PRODUCTS, FEES AND CHARGES.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE

Allegations: COUNSEL ALLEGES THE CLIENT RECEIVED IMPROPER INVESTMENT ADVICE DURING THE PURCHASE OF A MUTUAL FUND IN 1998. COUNSEL FURTHER ALLEGES THE INVESTMENT ADVICE WAS FINANCIALLY BENEFICIAL FOR THE AGENT. COUNSEL REQUESTED A REFUND OF ANY COMMISSIONS, SALES CHARGES AND 12B-1 FEES PAID BY THE CLIENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/01/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/30/2001

Settlement Amount:



Individual Contribution Amount:

Broker Statement EQUITABLE FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE

Allegations: CLIENT ALLEGES SHE PURCHASED A 1992 ISSUE VARIABLE ANNUITY THAT WAS FINANCIALLY BENEFICIAL FOR THE AGENT AND WAS INAPPROPRIATE. CLIENT REQUESTED THE CANCELLATION AND TRANSFER OF THE CONTRACT WITHOUT SURRENDER FEES AND TAX CONSEQUENCES. DAMAGES ARE UNSPECIFIED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/02/2000

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/08/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement EQUITABLE FOUND NO BASIS TO THE CUSTOMER COMPLAINT.



End of Report

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